

**Element Performance Inspection (EPI) Data Collection Tool**  
**1.3.24 Coordinating Agencies for Suppliers Evaluation (CASE) (AW)**

**ELEMENT SUMMARY INFORMATION**

**Purpose of this Element** (certificate holder's responsibility):

- To participate in the Coordinating Agencies for Suppliers Evaluation (CASE) program in such a manner that will ensure full compliance with the certificate holder's maintenance program, operations specifications paragraph D090, and the requirements outlined in the CASE Air Carrier Section Policies and Procedures Manual.

**Objective** (FAA oversight):

- To determine the effectiveness of the certificate holder's procedures in meeting the desired output of the process.
- To determine if the certificate holder follows its procedures, controls, process measurements, and interfaces for the Coordinating Agencies for Suppliers Evaluation (CASE) process.
- To determine if there were any changes in the personnel identified by the certificate holder as having responsibility and/or authority for the Coordinating Agencies for Suppliers Evaluation (CASE) process.

**Specific Instructions:**

- Intentionally left blank

**Related EPIs:**

- 1.2.2 Major Repairs and Alterations Records (AW)
- 1.2.3 Maintenance Log / Recording Requirements (AW)
- 1.2.5 Service Difficulty Reports (SDR) (AW)
- 1.3.1 Maintenance Program (AW)
- 1.3.2 Inspection Program (AW)
- 1.3.7 Outsource Organization (AW)
- 1.3.8 Control of Calibrated Tools and Test Equipment (AW)
- 1.3.10 Parts / Material Control / SUP (AW)
- 1.3.11 Continuous Analysis and Surveillance (CAS) (AW)
- 1.3.16 Fueling (AW)
- 1.3.18 De-Icing Program (AW)
- 2.1.2 Content Consistency Across Manuals (AW)

**SUPPLEMENTAL INFORMATION**

**Specific Regulatory Requirements (SRRs):**

- SRRs:
  - 119.43(b)
  - 119.43(b)(1)
  - 119.43(b)(2)
  - 119.43(c)
  - 119.5(f)(2)
  - 121.135(a)(1)

- SRRs:
  - 121.135(b)(1)
  - 121.135(b)(2)
  - 121.135(b)(3)
  - 121.363(a)
  - 121.363(b)
  - 121.373(a)
  - D.090
  - D.090(a)
  - D.090(b)
  - D.090(c)

**Related CFRs & FAA Policy/Guidance:**

- Related CFRs:
  - Intentionally left blank
- FAA Policy/Guidance:
  - FAA Order 8300.10, volume 2, chapter 45
  - FAA Order 8300.10, volume 2, chapter 95
  - HBAW 95-11A
  - HBAW 95-05
  - C.A.S.E. Air Carrier Section Policies and Procedures Manual

## EPI SECTION 1 - PERFORMANCE OBSERVABLES

**Objective:** The tasks and questions in this section of the data collection tool (DCT) are designed to assist the inspector in determining if the certificate holder follows its written procedures and controls and meets the established performance measures of the process. To accomplish this, questions have been generated to test both the outputs of the process as well as the process itself. Question 1 and its following subquestions are directed at the output(s) of the process, whereas questions 2-6, when answered, should be directed at the process itself.

### Tasks

	To meet this objective, the inspector must accomplish the following tasks:
1.	Review information listed in the Supplemental Information section of this DCT.
2.	Review the last accomplished associated safety attribute inspection (SAI) for this element with emphasis on the controls, process measurements, and interface attribute section responses.
3.	Review the last accomplished associated safety attribute inspection (SAI) for this element with emphasis on the controls, process measurements, and interface attribute section responses.
4.	Observe the CASE process to gain an understanding of the procedures, instructions, and information contained in the certificate holder's manual.
5.	Discuss the CASE process with the personnel (other than management) who perform the duties and responsibilities required by the process.

### Questions

	To meet this objective, the inspector must answer the following questions:	
1.	Determine whether the following performance measures were met:	
1.1.	<p>Did the certificate holder maintain an active sustaining membership in CASE?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> <li>Check at the Air Carrier Specified Location that the certificate holder maintained an active sustaining membership in C.A.S.E. <i>Sources:</i> 121.135(a)(1); D.090(c)</li> <li>Check at the FAA Location then at the Air carrier Specified Location that if Certificate holder ceased to maintain an active sustaining membership the C.A.S.E. authorization was cancelled. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies &amp; Procedures Manual REV 39) Section 1-9-3 Page 1 Paragraph A</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.2.	<p>Did the certificate holder conduct CASE activities in accordance with the most current revision of the CASE Air Carrier Section Policies and Procedures Manual?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> <li>Check at the Air carrier Specified Location that the Certificate Holder's C.A.S.E. Certificate Holder Section, Policies &amp; Procedures Manual is current. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies &amp; Procedures Manual(REV 39) Section 3-3-0 Page 2, Paragraph 4A &amp; Section 3-3-0 Page 2, Paragraph 4B</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

1.3.	<p>Did the certificate holder's CASE auditors meet the background and experience requirements for the auditors to be recognized by the CASE membership?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> <li>1. Check at the Air carrier Specified Location that the Certificate Holder's minimum requirements of the auditor background and experience was in accordance with the Certificate Holder's design. <i>Sources:</i> 8300.10, Volume 2, Chapter 95 Change 10 Section 1, Paragraph 5E(1)(a)</li> <li>2. Check at the Air carrier Specified Location that the Certificate Holder's audit personnel met the minimum requirements in accordance with the Certificate Holder's design. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies &amp; Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5)</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.4.	<p>Did the certificate holder's methods for selecting and training auditors meet the requirements outlined in the CASE Air Carrier Section Policies and Procedures Manual?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> <li>1. Check at the Air Carrier Specified Location that the auditor Training Program, was in accordance with the Certificate Holder's design. <i>Sources:</i> 8300.10 Volume 2 Chapter 95 Change 10 Section 2 Paragraph 5B 8300.10 Volume 3 Chapter 45 Change 8 Section 1 Paragraph 7A C.A.S.E. Certificate Holder Section, Policies &amp; Procedures Manual REV 39) Section 2-3-1 Paragraph 1D(1)(2) C.A.S.E. Certificate Holder Section, Policies &amp; Procedures Manual (REV 39) Section 2-3-1 Paragraph 6 &amp; Paragraph 6A(1)(2)(3)(4) 5)(6)(7)&amp; Section 2-3-1 Paragraph 6A Fuel #1-2-3-4-5-6-7 Section 2-3-1 Paragraph 6B (1)(2)(3)(4)(5) Section 2-3-1 Paragraph 6C(1)(2){a}{b}) (3)(4)(5)(6)(7) Section 2-3-1 Paragraph 6D(1)(2)(3)(4) (5)(6)(7)</li> <li>2. Check at the Training Center Location that the auditor Training Program, is in accordance with the Certificate Holder's design. <i>Sources:</i> 8300.10 Volume 2 Chapter 95 Change 10 Section 2 Paragraph 5B 8300.10 Volume 3 Chapter 45 Change 8 Section 1 Paragraph 7A C.A.S.E. Certificate Holder Section, Policies &amp; Procedures Manual (REV 39) Section 2-3-1 Paragraph 1D(1)(2)&amp; Section 2-3-1 Paragraph 6 &amp; Paragraph 6A(1)(2)(3)(4) (5)(6)(7) &amp; Section 2-3-1 Paragraph 6A Fuel #1-2-3-4-5-6-7 &amp; Section 2-3-1 Paragraph 6B (1)(2)(3)(4)(5) &amp; Section 2-3-1 Paragraph 6C(1)(2){a}{b}) (3)(4)(5)(6)(7) &amp; Section 2-3-1 Paragraph 6D(1)(2)(3)(4) (5)(6)(7)</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.5.	<p>Did the certificate holder's participation in CASE comply with its maintenance program?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> <li>1. Check at the Outsource Provider Location that the C.A.S.E. program is meeting the requirements of the Certificate Holder's approved maintenance program in accordance with the Certificate Holder's design. <i>Sources:</i> 8300.10 Volume 2 Chapter 95 Change 10 Section 2 Paragraph 5A(3)</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.6.	<p>Did the certificate holder's CASE auditors pass a written test, an oral examination, and a practical demonstration of their skills and capabilities as an auditor?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

1.7.	<p>Did the certificate holder's CASE auditors qualify and meet the requirements to maintain their authorization as outlined in the CASE Air Carrier Section Policies and Procedures Manual?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> <li>1. Check at the Air carrier Specified Location that the Certificate Holder's auditor candidates were authorized in accordance with the Certificate Holder's design.  <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies &amp; Procedures Manual(REV 39) Section 2-3-0 Paragraph 1C(1)(2)(3) &amp; Section 2-3-0 Paragraph 1D(1)(2)(3) &amp; Section 2-3-0 Paragraph 1E &amp; Section 2-3-0 Paragraph 1F &amp; Section 2-3-0 Paragraph 1G(1)(2)(3)(4) &amp; Section 2-3-0 Paragraph 1H &amp; Section 2-3-0 Paragraph 2A &amp; Section 2-3-1 Paragraph 1E(1)(2)(3) Paragraph 2B(1)(2)(3)(4) (5) &amp; (6) &amp; Section 2-3-1 Paragraph 2D&amp; Section 2-3-1 Paragraph 2F &amp; Section 2-3-1 Paragraph 2G(1)(2) &amp; Section 2-3-1 Paragraph 4A &amp; Section 2-3-1 Paragraph 4B(1)(2)(3)(4)(5) &amp; Section 2-3-1 Paragraph 4C &amp; Section 2-3-1 Paragraph 4E &amp; Section 2-3-1 Paragraph 4F &amp; Section 2-3-1 Paragraph 4K</li> <li>2. Check at the Air carrier Specified Location that the Certificate Holder's C.A.S.E. Level III or Level IV auditors that were to retain their Level III or Level IV authorization, filed an annual activities report to C.A.S.E. in accordance with the Certificate Holder's design.  <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies &amp; Procedures Manual(REV 39) Section 2-3-0 Paragraph 2B</li> <li>3. Check at the Air carrier Specified Location that the Certificate Holder's C.A.S.E. authorized auditor that changed employment from one member carrier to another member carrier, the individual's authorization remained valid, in accordance with the Certificate Holder's design.  <i>Sources:</i> C.A.S.E. Certificate Holder Section, olicies &amp; Procedures Manual (REV 39) Section 2-3-1 Paragraph 1G(1)(2)</li> <li>4. Check at the Air carrier Specified Location that the Certificate Holder's C.A.S.E. authorized auditors retained there C.A.S.E. authorization, in accordance with the Certificate Holder's design.  <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies &amp; Procedures Manual (REV 39) Section 2-3-1 Paragraph 5A &amp; Section 2-3-1 Paragraph 5B &amp; Section 2-3-1 Paragraph 5B &amp; Section 2-3-1 Paragraph 5C (1)(2) Note (1)&amp;(2) &amp; Section 2-3-1 Paragraph 5D(1)(2) &amp; Note</li> <li>5. Check at the Air carrier Specified Location that the Certificate Holder's C.A.S.E. authorized auditors that was lost authorization, regained C.A.S.E. authorization, in accordance with the Certificate Holder's design.  <i>Sources:</i> C.A.S.E. Certificate Holder Section, policies &amp; Procedures Manual(REV 39) Section 2-3-1 Paragraph 5E(1)(2) Section 2-3-1 Paragraph 5E(1)(2)</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.8.	<p>Were auditors authorized through the CASE Air Carrier Auditor Authorization Program the only personnel to submit supplier/vendor change information to the CASE database?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> <li>1. Check at the Air carrier Specified Location only auditors authorized were allowed to submit supplier/vendor change information to the data base in accordance with the Certificate Holder's design.  <i>Sources:</i> 8300.10, Volume 2, Chapter 95 Change 10 Section 1, Paragraph 5E(1)(c)</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

1.9.	<p>Were the certificate holder's CASE audits properly conducted at the appropriate intervals?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> <li>1. Check at the Air carrier Specified Location that the Certificate Holder's audits were conducted in accordance with the Certificate Holder's design. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies &amp; Procedures Manual (REV 39) Section 2-2-0, Page 1 Paragraph B1 (a)(b)</li> <li>2. Check at the Outsource Provider Location that the Certificate Holder's audits are conducted in accordance with the Certificate Holder's design. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies &amp; Procedures Manual (REV 39) Section 2-2-0, Page 1 Paragraph B1 (a)(b)</li> <li>3. Check at the Air carrier Specified Location that if the Certificate Holder substituted a current C.A.S.E. audit report for the required on site audit by the Certificate Holder, they did so in accordance with the Certificate Holder's design. <i>Sources:</i> 8300.10 Appendix 3 HBAW 96-05C Attachment 2 Item 10(A) Effective date 12-15-1997</li> <li>4. Check at the Air carrier Specified Location that if the Certificate Holder's had an audit schedule based on its own unique set of circumstances and needs, in accordance with the Certificate Holder's design. <i>Sources:</i> 8300.10 Appendix 3 HBAW 96-05C Paragraph 5G Effective date 12-15-1997</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.	<p>Were the certificate holder's policies, procedures, instructions, and information, contained in its manual for the CASE process, followed?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> <li>1. Check at the Air Carrier Specified Location that the certificate holder conducted C.A.S.E. activities in accordance with the certificate holder's instructions. <i>Sources:</i> 121.135(a)(1); D.090(a)</li> <li>2. Check at the Outsource provider that the certificate holder conducted C.A.S.E. activities in accordance with the certificate holder's instructions. <i>Sources:</i> 121.135(a)(1); D.090(a)</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.	<p>Were the CASE process controls followed?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
4.	<p>Did the records for the CASE process comply with the instructions provided in the certificate holder's manual?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> <li>1. Check at the Air carrier Specified Location that the Certificate Holder's audit records met the minimum requirements in accordance with the Certificate Holder's design. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies &amp; Procedures Manual (REV 39) Section 2-2-0 Page 1, Paragraph 1B(2)(3)(4)(5)</li> <li>2. Check at the Air carrier Specified Location that the Certificate Holder maintained the vendor surveillance activity records in accordance with the Certificate Holder's design. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies &amp; Procedures Manual (REV 39) Section 2-2-0 Page 1 Paragraph 1C(1)(2)(3)(4)</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	3. Check at the Air carrier Specified Location that the Certificate Holder retained audit reports, in accordance with the Certificate Holder's design. <i>Sources:</i> C.A.S.E. Certificate Holder Section, Policies & Procedures Manual(REV 39) Section 4-1-0 Page 1 Paragraph 4B	
5.	Were the process measurements for the CASE process effective in identifying problems or potential problems and providing corrective action for them?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
6.	Did personnel properly handle the associated interfaces by complying with other written policies, procedures, instructions, and information that are related to this element?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<b>EPI SECTION 1 - PERFORMANCE OBSERVABLES</b> <b>Drop-Down Menu</b>	
1.	Personnel.
2.	Tools and Equipment.
3.	Technical Data.
4.	Procedures, policies or instructions or information.
5.	Materials.
6.	Facilities.
7.	Controls.
8.	Process Measures.
9.	Interfaces.
10.	Desired Outcome.
11.	Other.



## EPI SECTION 2 - MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES

**Objective:** The questions in this section address the responsibility and authority of the process. They are designed to assist the inspector in determining if there is a clearly identifiable, qualified, and knowledgeable person who is responsible for the process, is answerable for the quality of the process, and has the authority to establish and modify the process. (The person with the authority may or may not be the person with the responsibility.)

### Tasks

	To meet this objective, the inspector must accomplish the following tasks:
	NOTE: If no personnel or major program changes (as defined by the principal inspector (PI)) affecting the responsibility or authority attributes for this element have occurred since the last SAI and/or EPI was accomplished, then do not perform tasks 3-6, below. Answer questions 1 and 2, below, and provide the name/title.
1.	Identify the person who has overall responsibility for the Coordinating Agencies for Suppliers Evaluation (CASE) process.
2.	Identify the person who has overall authority for the CASE process.
3.	Review the duties and responsibilities for the person(s) who manage the CASE process documented in the certificate holder's manual.
4.	Review the appropriate organizational chart.
5.	Discuss the CASE process with the management personnel identified in tasks 1 and 2.
6.	Evaluate the qualifications and work experience of the management personnel identified in tasks 1 and 2.

### Questions

	To meet this objective, the inspector must answer the following questions:	
1.	Is there a clearly identifiable person who is responsible for the quality of the CASE process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title:
2.	Is there a clearly identifiable person who has authority to establish and modify the certificate holder's policies, procedures, instructions, and information for the CASE process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title:
3.	Does the responsible person know that he/she has responsibility for the CASE process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
4.	Does the person with authority know that he/she has authority for the CASE process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
5.	Does the person with responsibility for the CASE process meet the qualification standards?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
6.	Does the person with authority to establish and modify the CASE process meet the qualification standards?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change

7.	Does the person with responsibility understand the controls, process measurements, and interfaces associated with the CASE process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
8.	Does the person with authority understand the controls, process measurements, and interfaces associated with the CASE process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
9.	Does the responsible person know who has authority to establish and modify the CASE process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
10.	Does the individual with authority know who has the responsibility for the CASE process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change

<b>EPI SECTION 2 - MANAGEMENT RESPONSIBILITY &amp; AUTHORITY OBSERVABLES</b>	
<b>Drop-Down Menu</b>	
1.	Assignment of responsibility.
2.	Assignment of authority.
3.	Does not understand procedures, policies or instructions and information.
4.	Does not understand controls.
5.	Does not understand process measurements.
6.	Does not understand interfaces.
7.	Span of control.
8.	Position vacant.
9.	Other.